

05-02-01 A
Please type a plus sign (+) inside this box [+]

PTO/SB/05 (11-00)

Approved for use through 10/31/2002, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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J1052 U.S. PTO
04/30/01

09/846470 U.S. PTO
04/30/01

UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 004728.P058
(maximum 12 characters)

First Named Inventor Horng-Huei Tseng

Title: STACKED-GATE FLASH MEMORY AND THE METHOD OF MAKING THE SAME

Express Mail Label No. EL431685519US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant Claims Small Entity Status. (37 CFR 1.27)
3. Specification (Total Pages 17)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawings(s) (35 USC 113) (Total Sheets 1)
5. Oath or Declaration (Total Pages 5)
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).
 - c. Unsigned.
6. Application Data Sheet. (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on.
i. CD-ROM or CD-R (2 copies); or
ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**
10. _____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
11. b. Power of Attorney
12. _____ English Translation Document (if applicable)
13. _____ a. Information Disclosure Statement (IDS)/PTO-1449
14. b. Copies of IDS Citations
15. _____ **Preliminary Amendment**
16. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
17. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)
18. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
19. Other: Certificate of mailing with copy of postcard signed by attorney

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
 Of Prior Application No.: _____ Examiner _____ Group Art Unit _____

(which is a continuation/ divisional/ CIP of prior application no. _____,
 which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is
 the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an
 assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____
 (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
 or _____ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME Chun M. Ng

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

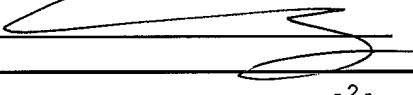
Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (425) 827-8600 FAX (425) 827-5644

Name (PRINT/TYPE): Chun M. Ng

Registration No.: 36,878

Signature: 

Date: 4/13/01

FEE TRANSMITTAL FOR FY 2001TOTAL AMOUNT OF PAYMENT (\$) \$750.00

Complete if Known:

Application No. not yet assigned
 Filing Date herewith
 First Named Inventor Hornng-Huei Tseng
 Group Art Unit not yet assigned
 Examiner Name not yet assigned
 Attorney Docket No. 004728.P058

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
 Deposit Account Name

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed: Check
 Credit Card
 Money Order
 Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity	Small Entity				
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
101	710	201	355	Fee Description	
106	320	206	160	Utility application filing fee	<u>710.00</u>
107	490	207	245	Design application filing fee	<u></u>
108	710	208	355	Plant filing fee	<u></u>
114	150	214	75	Reissue filing fee	<u></u>
				Provisional application filing fee	<u></u>

SUBTOTAL (1) \$ 710.00**2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims <u>17</u>	<u>- 20** = 0</u>	X	=
Independent Claims <u>2</u>	<u>- 3** = 0</u>	X	<u>0</u> = <u>0</u>
Multiple Dependent			<u>0</u>

**Or number previously paid, if greater; For Reissues, see below.

Large Entity	Small Entity				
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
103	18	203	9	Fee Description	
102	80	202	40	Claims in excess of 20	<u></u>
104	270	204	135	Independent claims in excess of 3	<u></u>
109	80	209	40	Multiple dependent claim, if not paid	<u></u>
110	18	210	9	**Reissue independent claims over original patent	<u></u>
				**Reissue claims in excess of 20 and over original patent	<u></u>

SUBTOTAL (2) \$ 0.00**FEE CALCULATION (continued)**

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Fee</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee</u>	<u>Fee (\$)</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Code 105	130		Code 205	65		Surcharge - late filing fee or oath	
127	50		227	25		Surcharge - late provisional filing fee or cover sheet	
139	130		139	130		Non-English specification	
147	2,520		147	2,520		For filing a request for ex parte reexamination	
112	920*		112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*		113	1,840*		Requesting publication of SIR after Examiner action	
115	110		215	55		Extension for reply within first month	
116	390		216	195		Extension for reply within second month	
117	890		217	445		Extension for reply within third month	
118	1,390		218	695		Extension for reply within fourth month	
128	1,890		228	945		Extension for reply within fifth month	
119	310		219	155		Notice of Appeal	
120	310		220	155		Filing a brief in support of an appeal	
121	270		221	135		Request for oral hearing	
138	1,510		138	1,510		Petition to institute a public use proceeding	
140	110		240	55		Petition to revive – unavoidable	
141	1,240		241	620		Petition to revive - unintentional	
142	1,240		242	620		Utility issue fee (or reissue)	
143	440		243	220		Design issue fee	
144	600		244	300		Plant issue fee	
122	130		122	130		Petitions to the Commissioner	
123	130		123	130		Petitions related to provisional applications	
126	180		126	180		Submission of Information Disclosure Stmt	
581	40		581	40		Recording each patent assignment per property (times number of properties)	<u>40.00</u>
146	710		246	355		For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710		249	355		For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710		279	355		Request for Continued Examination (RCE)	
169	900		169	900		Request for expedited examination of a design application	

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$ 40.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name:	<u>Chun M. Ng</u>
Signature:	
Date:	<u>4/30/01</u>
Reg. Number:	<u>36,878</u>
Telephone Number:	<u>425-827-8600</u>

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

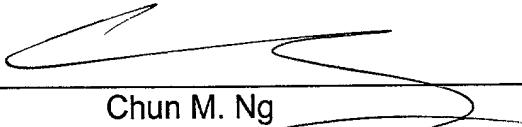
Our Reference: 004728.P058

Patent

STACKED-GATE FLASH MEMORY AND THE METHOD OF MAKING THE SAME
Inventors: Horng-Huei Tseng

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP


Chun M. Ng
Reg. No. 36,878

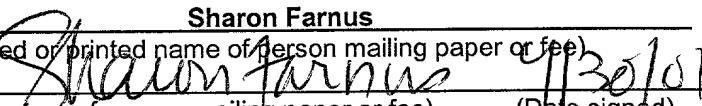
"Express Mail" mailing label number: EL431685519US

Date of Deposit: April 30, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Sharon Farnus

(Typed or printed name of person mailing paper or fee)


(Signature of person mailing paper or fee) 4/30/01 (Date signed),

Serial/Patent No.: not yet assigned Filing/Issue Date: herewith
Client: Himark Counselors

Title: STACKED-GATE FLASH MEMORY AND THE METHOD OF MAKING THE SAME

BSTZ File No.: 4728.P058

Atty/Secty Initials: CMN:sef

Date Mailed: 4-30-01

Docket Due Date: ***

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- | | | |
|--|--|---|
| <input type="checkbox"/> Amendment/Response (____ pgs.) | <input checked="" type="checkbox"/> Express Mail No. <u>EL431685519US</u> | <input checked="" type="checkbox"/> Check No. <u>1142</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate) | <input type="checkbox"/> _____ Month(s) Extension of Time | Amt: <u>\$750.00</u> |
| <input checked="" type="checkbox"/> Application - Utility (<u>17</u> pgs., with cover and abstract) | <input type="checkbox"/> Information Disclosure Statement & PTO-140 (____ pgs.) | <input type="checkbox"/> Check No. _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.) | <input type="checkbox"/> Issue Fee Transmittal | Amt: _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.) | <input type="checkbox"/> Notice of Appeal | |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.) | <input type="checkbox"/> Petition for Extension of Time | |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.) | <input type="checkbox"/> Petition for _____ | |
| <input type="checkbox"/> Application - Design (____ pgs.) | <input checked="" type="checkbox"/> Postcard | |
| <input type="checkbox"/> Application - PCT (____ pgs.) | <input type="checkbox"/> Power of Attorney (____ pgs.) | |
| <input type="checkbox"/> Application - Provisional (____ pgs.) | <input type="checkbox"/> Preliminary Amendment (____ pgs.) | |
| <input checked="" type="checkbox"/> Assignment and Cover Sheet | <input type="checkbox"/> Reply Brief (____ pgs.) | |
| <input checked="" type="checkbox"/> Certificate of Mailing | <input type="checkbox"/> Response to Notice of Missing Parts | |
| <input checked="" type="checkbox"/> Declaration & POA (<u>5</u> pgs.) | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business | |
| <input type="checkbox"/> Disclosure Docs & Oig & Copy of Event of Signed Letter (____ pgs) | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate | |
| <input checked="" type="checkbox"/> Drawings: <u>1</u> # of sheets includes <u>3</u> figures | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate | |

Other: Certificate of mailing with copy of return postcard signed by attorney